



PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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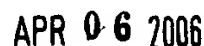
TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/653,102-Conf. #4063
	Filing Date	August 31, 2000
	First Named Inventor	Mark A. Nordlicht
	Art Unit	3624
	Examiner Name	R. C. Weisberger
Total Number of Pages in This Submission	Attorney Docket Number	04117/000K528-US0

ENCLOSURES (Check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input checked="" type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Receipt Postcard <i>Fee Summary Sheet</i>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	DARBY & DARBY P.C.		
Signature			
Printed name	Louis J. DeJuidice		
Date	April 6, 2006	Reg. No.	47,522



Approved for use through 7/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

Complete if Known

Application Number	09/653,102-Conf. #4063
Filing Date	August 31, 2000
First Named Inventor	Mark A. Nordlicht
Examiner Name	R. C. Weisberger
Art Unit	3624
Attorney Docket No.	04117/000K528-US0

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT	(\$)	\$795.00
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METHOD OF PAYMENT (check all that apply)

☒ Check
 ☐ Credit Card
 ☐ Money Order
 ☐ None
 ☐ Other (please identify): _____

☐ Deposit Account
 Deposit Account Number: 04-0100
 Deposit Account Name: Darby & Darby P.C.

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

<input type="checkbox"/> Charge fee(s) indicated below	<input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee
<input checked="" type="checkbox"/> Charge any additional fee(s) or underpayment of fee(s) under 37 CFR 1.16 and 1.17	<input checked="" type="checkbox"/> Credit any overpayments

FEE CALCULATION (All the fees below are due upon filing or may be subject to a surcharge.)

1. BASIC FILING, SEARCH, AND EXAMINATION FEES

	FILING FEES		SEARCH FEES		EXAMINATION FEES		
		<u>Small Entity</u>		<u>Small Entity</u>		<u>Small Entity</u>	
<u>Application Type</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fee (\$)</u>	<u>Fees Paid (\$)</u>
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

2. EXCESS CLAIM FEES		Small Entity
Fee Description	Fee (\$)	Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
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$$x = \frac{1}{2}$$

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
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HP = highest number of independent claims paid for, if greater than 3.

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).


<u>Total Sheets</u>	<u>Extra Sheets</u>	<u>Number of each additional 50 or fraction thereof</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>
- 100 =	/50	(round up to a whole number) x	=	

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge):	2255 Extension for response within fourth month	\$795.00
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SUBMITTED BY

Signature		Registration No. (Attorney/Agent)	47,522	Telephone	(212) 527-7791
Name (Print/Type)	Louis J. DelJudice			Date	April 6, 2006



Application No. (if known): 09/653,102

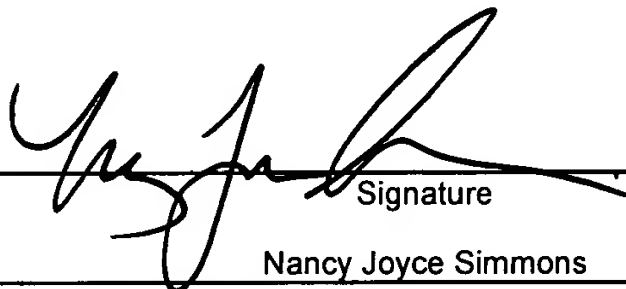
Attorney Docket No.: 04117/000K528-US0

Certificate of Express Mailing Under 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail, Airbill No. **EV 762808247 US** in an envelope addressed to:

MS Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

on April 6, 2006
Date



Signature

Nancy Joyce Simmons

Typed or printed name of person signing Certificate

Registration Number, if applicable

212-527-7700
Telephone Number

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

Four Month Request for Extension of Time

Under 37 CFR 1.136(a) (1 page)

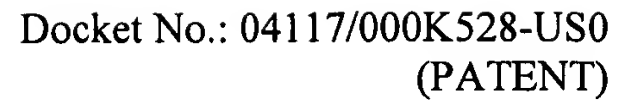
Transmittal Letter (PTO SB 21) (1 page)

Fee Transmittal Sheet (1 page); Fee Summary Sheet (1 page)

Response to Office Communication Under 37 C.F.R. § 1.105 (4 pages)

Check No.: 11655 in the amount of \$795.00

Return Postcard



**In re Patent Application of:
Mark A. Nordlicht et al.**

Application No.: 09/653,102

Confirmation No.: 4063

Filed: August 31, 2000

Art Unit: 3624

For: **SYSTEM AND METHOD FOR REAL-TIME
OPTIONS TRADING OVER A COMPUTER
NETWORK**

Examiner: R. C. Weisberger

RESPONSE TO OFFICE COMMUNICATION UNDER 37 CFR § 1.105

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Applicants herewith file a response to the Office Communication dated October 6, 2005 (Paper No. 09052005). The Examiner has requested Applicants to provide answers to the following interrogatories:

Question A: Name the real party of interest (the assignee) of this application.

Answer A: The name of the real party of interest is Optionable, Inc., the assignee of the present application.

Question B: Is the assignee familiar with the designation independent software provider (ISV)?

Answer B: Yes, the Assignee is familiar with the designation Independent Software Provider (ISV). However, ISV has a particular meaning in the financial trading software art and is typically limited to providers of front end GUIs for back end trading platforms.

Question C: Does the assignee market itself as an ISV?

Answer C: No, the Assignee does not market itself as an ISV. Assignee markets itself as a provider of both a front end and back end trading platform.

Question D: Is the assignee familiar with the term front end trading platform?

Answer D: Yes, the Assignee is familiar with the term front end trading platform.

Question E: Does the assignee product [sic "produce"] and/or market front end trading platforms?

Answer E: Yes, the Assignee produces and/or markets a front end trading platform as part of a total system that includes both a front end and a back end trading platform.

Question F(a): Does the applicant use and/or market a front end application that is certified with the Chicago Board of Trade or other options exchange(s)?

Answer F(a): No, the Assignee does not use and/or market a front end application that is certified with the Chicago Board of Trade or any other options exchanges. However, the Assignee is authorized to submit trades submitted and matched on the assignee's

